Serial Copy Cataloging

Introduction

In 2001, as an aid to arrearage reduction in the monograph teams and with the strong support of the Director for Cataloging, CPSO developed the *Interim Options for Processing Backlog of Materials*.   These guidelines are intended to save staff time by employing the stated objective of copy cataloging as "do no harm."   This approach emphasizes ensuring that the description reflects the item such that an observer of the record can determine whether it fits the item he has in hand; and, fits the access point headings within the relevant authority files. It is the intention of the Serial Record Division to adopt as much as possible these guidelines for copy cataloging while still meeting the minimum standards applied within the CONSER Program.

Since the spring of 2000, cataloging technicians have been performing copy cataloging on CONSER-authenticated records at full and core levels mostly in English languages. In October 2004, the Serial Record Division expanded the scope to include all OCLC copy. The implementation of this change represents a significant shift in the Division's expectations in what is considered copy cataloging, who performs copy cataloging, and in how copy cataloging is performed. Prior to this time, cataloging technicians performed copy cataloging on CONSER-authenticated records with primarily English-language materials; other CONSER-authenticated materials remained the purview of catalogers with the expectation that they would complete the title "whole serial" according to the procedures for copy cataloging.

Historically, LC usually authenticated OCLC copy (non-CONSER) at the same level of cataloging as the level done for original cataloging, i.e., "lc" in the 042 field. This level of authentication requires strict adherence to the full-level standard for serials in the CONSER program. It also requires more scrutiny of all bibliographic elements present in the record that is to be authenticated. With the recognition that the majority of these records have likely been created or reviewed by professional colleagues elsewhere, with training in cataloging, our practice of "recataloging" every item received, was an extraordinarily expensive and unnecessary exercise.

At this time LC is taking the opportunity to change how it handles CONSER authenticated records. We will accept the existing authentication, i.e., we will no longer change the code "lcd" applied by CONSER institutions. Non-CONSER records will be authenticated as "lccopycat." Records authenticated by the National Library of Canada (code "nlc" in 042) will continue to be accepted without change and authenticated at "lc." As with "lc" and "lcd" authentication, authority records are required for authentication at "lccopycat." ==Not all items with copy qualify for copy cataloging (see later sections of this document).==

The "lccopycat" code signifies that the Library of Congress has used a non-CONSER organization's record as the basis for its cataloging; additionally, all name and LCSH subject headings are checked against the relevant authority files. The presence of this code also indicates that these externally provided cataloging records are accepted with minimal change, if any, and that because of this, the record may not reflect LC documentation and practice.

The approach places a greater emphasis on identification of the piece with less emphasis on description and uniformity of the information in the bibliographic record. Obvious typos and egregiously misleading errors, i.e., those resulting in seriously misleading description; and/or those resulting in seriously misleading access will be corrected. But further verification on copy cataloging work, such as addressing the appropriateness of pre-existing subject headings will not be done. In general, notes will not be corrected nor reformatted to match LC's stylistical preferences for original cataloging; however, they will be edited as bibliographic data elements change, e.g. change in frequency, publisher or issuing body.

When dealing with existing data in records which cannot be verified by the piece(s) in hand, the information will be assumed to be correct. Only data that can be proven to be factually incorrect will be deleted from or corrected in records. The philosophy for this approach is that it is more harmful to delete information, which may in fact be correct, than to leave in such data which cannot be proven to be wrong.

Procedures

These procedures are used by *all* staff when working with copy that is in scope for copy cataloging. Technicians perform copy cataloging on Roman-alphabet titles; however, questions on titles with complicated problems they cannot resolve are referred to catalogers. Catalogers perform copy cataloging on titles in non-Roman alphabets, when technician skills in those languages are lacking. Titles which are out-of-scope for copy cataloging are cataloged at fuller authentication levels, e.g. lcd, msc, and or lc. Examples of problem titles are identified in these procedures.

Copy cataloging is all non-original cataloging. Acceptable copy includes that found in OCLC and may be expanded to include other databases in the future. Mono-to-serial, cloning, and pattern cataloging are also considered copy cataloging. Non-print formats are also eligible for

the copy cataloging workflow. With few exceptions, copy cataloging is completed whole serial.[1]

There are two main types of copy: CONSER authenticated copy and unauthenticated copy. Within these two main types, there are some sub-categories. The procedures for cataloging these materials will differ slightly according to the type of copy and sometimes according to the sub-category as will be explained later in these procedures. For the purposes of copy cataloging, DLC mono-to-serial packages <mark>where at least one monograph has received full cataloging ("cbc" is present in subfield |b of the 906 field)</mark> should also be considered CONSER copy, even when no serial record exists at all.

The codes LC will use for copy are lcd, msc, and lccopycat. With the implementation of these procedures, the code "lc" is used only for original cataloging, NLC CONSER records, and for copy that is out of scope for the copy cataloging workflow.

N.B. These procedures address copy cataloging and do not replace other documentation in the Serial Record Manual. Refer to the *M1.* documents for information regarding hours and statistics and the *M2._*documents for information regarding necessary pre-searching, general workflow, and standard fields to be added to records (including local fields). The *M18* and *M25.* documents contain additional information about links, title changes, whole serial and subject cataloging practices.

Materials Which are Out of Scope for the Copy Cataloging Workflow

The list below gives types of materials that will continue to be done at full-level cataloging. These records will be authenticated using "lc" in the 042 field. CONSER records will be left at "lcd" or "msc". LC catalogers are strongly encouraged to change "msc" records to "lcd" by completing authority work whenever possible, even if a provisional authority record must be created or the OCLC record must be cited in lieu of an actual piece. Count as regular hours for STARs all cataloging performed on records which are out of scope for the copy cataloging workflow.

Out of scope for copy cataloging workflow:

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[1]Titles with NSDP copy lacking subject headings and mono. cancellations go directly into the subject cataloging workstream, since the descriptive cataloging is largely complete. Subject catalogers will create authority records, when lacking, for required headings at the time they are performing the subject work.
        When determining whether or not subject headings are present on NSDP records, consider only 6xx fields with a second indicator of 0 or 2. Subject headings with second indicators of 0 may be used after verification in the authority files. See part L of this procedure, for how to process subject headings with second indicator of 2. If a record contains only subject headings with other second indicators, consider these as lacking subject headings and follow the procedures in M6 or M25.

- serial analytics (main series is collected and analyzed in part or in full). **N.B. This includes all State practice series [Law]**
- rare serials
- monograph series
- proceedings
- AACR records (except records being cloned for microform reproductions)
- United States newspapers (these are done according the USNP cataloging rules)
- other newspapers (these are done by catalogers trained in newspaper cataloging)
- any unauthenticated record containing an 010
- any record which lacks a 362 or a 500 "Description based on ..." note

Additionally, any OCLC record which appears to have major discrepancies with the pieces or other problems should be reviewed by a cataloger/supervisor. Such records may still be acceptable for copy; however, a cataloger will need to make this decision.

Cataloging technicians should refer the following categories of problems to catalogers–usually their trainers:

- Duplicate records found during searching
- Title changes represented by at least one unauthenticated record
- Questions of serial versus monograph
- Records for supplements or indexes cataloged separately from the main work

If the copy record is OK to use, the cataloger may return the packages to the technician for completion. Catalogers should cancel duplicate records before returning copy cataloging packages to cataloging technicians.

Serial Copy Cataloging Steps

A. Determining a Match

A.1.   Examine the physical pieces in hand of the serial to be cataloged. Note the title (*exact wording is important here*), issuing bodies, ISSN (if present), place of publication, numbering, presence of supplements or special numbers, etc. Not all serials will have all these things.

A.2.   Compare the pieces in hand with the information found on the OCLC record(s).

If the same, accept the record and proceed with cataloging. If it is not an exact match but it still appears to be the same serial as is described by the OCLC record, accept the record without further editing except as is noted in the Table at the end of this procedure.

A.3.   If it is determined that the OCLC record is not a match, re-search OCLC for a matching record. Refer records without matches to the appropriate original cataloging backlog.

Refer the following categories of problems to catalogers:

•   Duplicate records found during searching
•   Title changes represented by an unauthenticated record.
•   Questions of serial versus monograph

B. Checking the Bibliographic Record

B.1.   Check information in the bibliographic record. Compare with the pieces in hand and correct any incorrect data and any typographical errors. As an additional aid, the Table at the end of this procedure provides some specific guidelines on types of information to add or change.

Look at the fixed fields and make sure the coding here matches the piece. The allowable codes can be found in the section for the 008 field in the <u>CONSER Editing Guide</u>. **N.B. Remember to forward Elvl 8 material and/or records with a 263 field directly to NSDP for ISSN work <u>and</u> copy cataloging work.**

For the variable fields, look at:

•   022 field

•   Fields beginning with the 1xx's through the 830 fields and compare them with the piece in hand. Also examine the "Latest issue consulted" note (i.e. the latest issue that was consulted by the institution last working on the OCLC record) in the 500 field . This note was formerly given in the 936 field with the "LIC" following the designation. If the note is still in the former 936 format and you are changing this field to reflect a more recent issue, update the field to the current 500 field format and terminology. Otherwise, leave as is.

•   245 field: Ensure that the title, as it is recorded in subfields a, n, and p of the OCLC record, exactly matches the title on the pieces. Provide access for title variants if they do not qualify as title changes and if they are considered important for future searching

retrieval. If the title has changed and it is not represented by another CONSER OCLC record, <mark>place the cataloging package</mark> in the appropriate original cataloging backlog.

• Determine if the 245 is a unique title against the ILS database; i.e. no other serial (including monographic series) has the same title. If not unique, and there is an existing uniform title on the OCLC record for the item to be cataloged, determine if that uniform title now makes the record unique? If not, ask the appropriate cataloger to set up the uniform title. The items will be returned to the technician after the uniform title has been set up.

• Check the 260 field. If the publisher and place of publication are not the same, add the new information in a 500 note if the information is not already present.

• Check for the presence of LCSH subject headings. These are 6xx fields with a second indicator of zero (e.g. 651 _0). Verify these headings in the subject authority files.

• If an LC classification number coded as field 050 14 is present, verify that it matches at least one of the 6xx's on the record. If no 050 is present <mark>or if an existing 050 14 does not match any of the subject headings</mark>, search the subject headings in Minaret to see if a class number has been used for at least one of the subject headings which can then be used as a call number for the title in hand. <mark>Refer problems to subject catalogers.</mark>

• <mark>Verify that there is either a 362 field or a 500 "Description based on" field.</mark>

• Add or update the frequency field (310) as needed. <mark>Do not add or update 321 fields for previous frequencies.</mark>

• Look at the remaining fields to verify that the information is still correct. If the issuing body has a variant form on the piece from what is reflected in the heading and this form does not appear somewhere else in the description (for example: 260, 550 fields), search the authority file to ensure that this form appears on the authority record. If the variant form is missing from the authority record, write "NAR revision needed" on a printout of the authority record and place the package on the section's NAR/SAR shelf. The cataloging package will be returned after the authority work has been completed.

• If a series is present (440 or 490 + 830), check for a series authority record (SAR) in the ILS or OCLC. To qualify for copy cataloging, the treatment of the series, as represented in the treatment fields (fields 644, 645 and 646), of the series authority record must be coded as **f**, **t**, and **s** [fully analyzed, traced, and classed separately] and |**5 DLC** must be present in these fields. If any other codes appear in the treatment fields, circle the codes and give to the appropriate cataloger or place in the appropriate full cataloging backlog. If |**5 DLC** is not in the fields, place the package and a printout of the SAR on the

section's NAR/SAR shelf. The cataloging package will be returned after the authority work has been completed, if the treatment qualifies it for copy cataloging.

B.2.   Add to the record access points such as corporate bodies, series statements, or variant titles which may assist with accurate retrieval or identification of piece. ==These access points will generally be information present on LC's pieces in hand but not represented in the record.== For variant titles, give consideration as to whether not adding the information might prevent access. If in doubt as to whether the information should be left out, leave it out.

B.3.   All headings added should be established. Technicians who are adding a corporate body or series which lacks an authority record, should first have the authority record established before authenticating the record.

==B.4.   Add only notes which are important for proper identification of the piece. Generally consider change in place of publication or publisher notes important.==

C. Checking for Authority Work

C.1.   Search all name, series and subject headings (including sub-elements) in the OCLC authority for an authority record.

C.2.   If a heading lacks an authority record, refer to catalogers. The package will be returned to the technician when the authority work is completed.

D. Authenticating the Record

D.1.   Assign an LCCN number to the record if not present. If there is an sc-prefixed LCCN in the record, technicians should give record to a professional cataloger for cancellation. The cataloger will return the record when the LCCN has been cancelled. After cancellation, assign a new LCCN and trace the cancelled LCCN in |z of the 010.

D.2.   Add/update the 042 field as follows:

•   Add "lccopycat" to any record lacking this field.
•   Leave as is fields containing code "lcd."
•   Add "lc" to 042 fields containing "nlc."

If an existing 042 field is coded "msc", follow the procedures in C above to get all authority work completed and change the 042 field to "lcd" after this has been done.

When **deriving and cloning** serial records from other records (such as for monographs to serials or microform reproductions), consider the source of the copy before determining which code to use in the 042 field. If the source of the copy is DLC, the 042 field is coded lc; if the source is CONSER, the 042 field is coded lcd or msc; if the source is pcc, lccopycat or no authentication code at all, the 042 field is coded lccopycat.

D.3.   Completing the class number (field 050)

a. If shelflisting and cataloging simultaneously, add the entire shelflisted class number to the 050 field.

b. If not shelflisting the piece, add the 050 field as follows:

        050 00   IN PROCESS

        This 050 field should be the first 050 field in the record. (A record may contain more than one 050 field.) The class number may be added in brackets following the "IN PROCESS" statement.

        050 00   IN PROCESS [P9+]

        N.B. For materials with a priority 4 slip inserted, do not classify or shelflist; instead, assign a WMLC number. Similarly, CDs and microforms receive special call numbers.

D.4.   In the fixed field, change the Elvl to "5" if **not** shelflisting the piece at the same time; otherwise, change the Elvl to blank for full level material (subject headings present) or "7" for minimal level material (subject headings not present). Also change the Elvl of all non-priority 4 titles lacking subject headings to "5" and route to the subject shelf. See further instructions in *section G below*.

D.5.   Add an 850 field as follows:

           850   DLC

If an 850 field already exists in the record, add "|a DLC" to this field so that it falls alphabetically within the other institutional codes listed.

                E.g.   850   DLC |a MH-L

D.6.   Validate, replace, and update the record as per normal procedures and use the preprocessor to migrate the record into Voyager.

D.7.   Continue preparing the final record in Voyager as per the procedures in M2.2 and other relevant documentation in the Serial Record Manual.

D.8.   If an ISSN is needed, insert a slip into the package for forwarding to NSDP after all other cataloging and endstage processing is complete. Forward the package to the next appropriate route (e.g. stage of cataloging, processing or NSDP).

D.9.   If an ISSN is not needed, forward the package to the next appropriate route.

Special Types of Copy Cataloging

E. Mono-to-Serial Records

[Current policy under revision. To be added later.]

F. Cloning

[In development.]

K. Pattern Cataloging

[In development.]

L. NLM CONSER Records Without LCSH Headings

Subject headings with a second indicator of 2 are from the thesaurus for Medical Subject Headings (MeSH for short). These headings are used by the National Library of Medicine and other medical libraries. MeSH headings can often be "converted" into LCSH subject headings with a little extra searching. When adding an LCSH heading to a record, do not delete a MeSH heading, even if it duplicates the LCSH heading. MeSH headings are searchable in Voyager.

L.1   Search |a and each subsequent field of the 6xx string for all MeSH headings in the LCSH authority file in either OCLC or Voyager. For all headings found, examine the authority record and add to the copy cataloging record the subject correct heading(s) shown in the authority record(s). These may not match the MeSH heading.

L.2   For all headings where no corresponding LC record could be found, search Voyager using the MeSH subject string. Examine any bibliographic records retrieved and compare the LCSH/MeSH headings. If any LCSH subject headings appear comparable to the MeSH subject heading in questions, add these to the copy cataloging record. If in doubt, do not add.

L.3   If comparable LCSH headings can be found for <u>most</u> MeSH subject headings and the headings appear to cover most of the subject matter adequately, assign a classification number using Class Web and complete the cataloging.

L.4   If no comparable LCSH headings can be found or if not enough of the subject matter is covered by those found, refer to the subject cataloging shelves after completing the descriptive cataloging.

M. Parallel Language Records

Parallel language records are usually recognized by the presence of a $b in the 040 field, followed by the three-letter code for the language of the cataloging. Sometimes such records are not correctly coded and can only be distinguished by notes and/or subject headings in a foreign language. LC **does not** amalgamate with these records. Instead, these records should be used to create an English language catalog record by language catalogers using the copy cataloging procedures.

Catalogers should evaluate the language record according to the parameters listed in the out-of-scope section of this document to ensure that there are no serious problems to disqualify the record from the copy workstream. Process acceptable records using the 042 guidelines for source of copy in section D above and copy hours.

N. Title Changes

When working with non-CONSER records, a cataloger should determine the validity of a title change according to AACR2 rev. and the continuation of the subject scope. Technicians should refer title changes to catalogers as they encounter them. Catalogers will return to technicians packages for valid title changes with instructions on how to treat the subject scope:

a. <u>Not a valid title change</u>: Cataloger should modify the correct record appropriately and cancel the invalid record.

b. <u>Title change with same scope</u>: Follow normal copy cataloging procedures. Additionally, copy the subject headings and classification number from the previous title onto the record for the title change. Delete subject headings in the non-CONSER record that do not match those from the earlier title. Do not reshelflist the classification number, even if numbering restarts.

c. Title change with different scope: Follow normal copy cataloging procedures for the descriptive part of the record. Add a note on the package printouts that the subject scope has changed. Track and place the title on the subject shelves for subject cataloging and reclassification.

These records may have a fuller level of cataloging for the subject work than for the descriptive work. Code the 042 using the code that most closely matches the descriptive level of cataloging done to a record.